

Accounting Information and Management

PhD Program Guidelines

September 2016

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I. Introduction

The goal of the Accounting Information and Management Department (AIM) PhD program is to train students in research methods appropriate for the study of accounting issues from both empirical/archival and analytic/theoretical perspectives in preparation for an academic career at a research-oriented institution. This cross-training in empirical and analytic research methods is one of the strengths of the AIM program.

The purpose of this document is to describe the goals, requirements, policies, and parameters of the AIM PhD program for the benefit of both faculty and students. The written representation of the requirements of the program should clarify both student and faculty understanding of the program and facilitate appropriate, informed expectations.

PhD students are subject to the requirements and regulations of the Graduate School of Northwestern University (TGS), of the Kellogg School of Management (KSM) PhD Program, and of the Department of Accounting Information and Management (AIM). The student is responsible for knowing, understanding, and complying with all of the applicable rules and requirements. The requirements of the Graduate School and the Kellogg School of Management are described in The Graduate School Academic Policies & Procedures (www.TGS.Northwestern.edu/about/policies/index.html) and in the Kellogg Doctoral Program (www.kellogg.northwestern.edu/programs/doctoralprogram/programs/programrequirements.aspx), respectively. This document does not repeat all of the provisions in the other two documents but focuses on those specific to the AIM department.

PhD students are required to complete eight quarters of continuous residency during the first two years of study. AIM PhD students sit for the micro-economics preliminary exam during the summer after their first year of coursework. Following the second year of coursework, students sit for the AIM written qualifying examination and prepare a research study for presentation to the AIM faculty during the fall quarter. Upon successful completion of all requirements (see section VII. below), a student is admitted to candidacy. Upon admission to candidacy, most formal coursework ends and the focus is on research, both dissertation related and other. Most successful candidates for academic positions in accounting have completed more than just their dissertation research upon attaining the PhD degree.

Throughout their tenure (including summers) in the AIM PhD program, the faculty expects students to be engaged actively in study and research and to contribute to the intellectual life of the department, Kellogg, and the University. **Any absences from the department in excess of two weeks in any quarter (including summer) must be approved by the Department Chair or the Director of Graduate Studies (DGS) and Kellogg's Director of PhD Studies, Senior Associate Dean Kathleen Hagerty.**

II. Administration

The AIM PhD program is administered by the Director of Graduate Studies (DGS), Linda Vincent; the Department Chair, Beverly Walther; and the PhD Committee comprising all tenured AIM faculty: Ron Dye, Bob Magee, Sri Sridharan, Linda Vincent, and Beverly Walther. Kathleen Hagerty is the Faculty Director of the Kellogg PhD Program and Susan Jackman is the Administrative Director of the Kellogg PhD Program.

Although the AIM PhD program is administered by faculty of the Kellogg School of Management, all PhD programs come under the auspices of The Graduate School (TGS) of Northwestern University. TGS has the final authority on all PhD-related matters.

III. Coursework and Schedule

Students generally complete six quarters of coursework comprising 3 or 4 courses per quarter (fall, winter, spring) during their first two years in the program. All courses must be taken for a grade (pass/no pass is not permitted) and the student must maintain a minimum 3.0 (B) average.

Enrolling in MBA courses is discouraged. Faculty members throughout Kellogg generally permit PhD students to attend (audit) MBA courses without registering. Such auditing may be done in the third or fourth year of the student's program or as needed for developing teaching-related skills.

A typical program of study is the following (subject to changes in scheduling):

Fall Quarter, First Year

Microeconomics	–	ECON 410-1	Microeconomics
Econometrics	-	ECON 480-1	Introduction to Econometrics
Elective*	-		

Winter Quarter, First Year

Microeconomics	–	ECON 410-2	Microeconomics
Econometrics	-	ECON 480-2	Introduction to Econometrics
Elective*			

Spring Quarter, First Year

Microeconomics	–	ECON 410-3	Microeconomics
Econometrics	-	ECON 480-3	Introduction to Econometrics
Elective*			

Summer Quarter, First Year

Accounting	–	ACCT 590-0	Research
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Microeconomics preliminary examination

Research methods – including data and programming training

Fall Quarter, Second Year

Accounting	-	ACCT 550-1	Analytical Research in Accounting I
Accounting	-	ACCT 540-1	Empirical Research in Accounting I
Elective*			
Elective*			

Winter Quarter, Second Year

Accounting	-	ACCT 540-2	Empirical Research in Accounting II
Elective*			
Elective*			
Elective*			

Spring Quarter, Second Year

Accounting - ACCT 550-2 Analytical Research in Accounting II
 Elective*
 Elective*
 Elective*

Summer Quarter, Second Year

Accounting - ACCT 590-0 Research

AIM qualifying examination
 Research paper

Fall Quarter, Third Year

Elective* - Optional

Winter Quarter, Third Year

Accounting - ACCT 540-2 Empirical Research in Accounting II

Spring Quarter, Second Year

Accounting - ACCT 550-2 Analytical Research in Accounting II

The second course in each of the empirical and analytical AIM PhD course sequences is topics-based and rotates every other year. AIM PhD students are required to take the topics courses in both their second and third years.

Students in their third, fourth, and fifth years may take one course per quarter for credit at no additional tuition charge. The course must be related to the student's area of study. Students may take more than one course with permission from the AIM DGS.

*Some suggested electives (this list is not exhaustive and is continuously changing):

ECON	-	411 - 1, 2, 3	Macroeconomics
ECON	-	414 - 1, 2, 3	Economics of Information
ECON	-	450 - 1, 2, 3	Industrial Organization and Prices
ECON	-	482	Applied Econometrics: Time-Series Methods
ECON	-	483	Applied Econometrics: Cross-Section Methods
FINC	-	485 - 1, 2, 3	Asset Pricing I, II, III
FINC	-	486 - 1, 2, 3	Corporate Finance I, II, III
MATH	-	314	Probability and Statistics for Econometrics
MATH	-	320	Real Analysis
MECS	-	560 - 1	Static Optimization in Economics
MECS	-	560 - 2	Dynamic Optimization in Economics
MECS	-	549	Economics of Innovation
STAT	-	420	Introduction to Statistical Theory and Methodology

The specific curriculum varies depending on the student's background and research interests.

Students must obtain prior approval of the AIM Director of Graduate Studies for each quarter's course of study before registering.

IV. Weekly Research Workshops

Throughout the student's tenure at Northwestern University, the faculty expects PhD students to attend the accounting workshops which generally are held on Wednesday afternoons. These workshops consist of outside scholars invited to present their research as well as Kellogg AIM faculty and PhD students who likewise present their research. All PhD students are to read the research papers carefully before the workshop and are encouraged to participate in the workshop by asking questions and making comments. During winter quarter, the workshops are often rookie recruiting workshops. The PhD students have the opportunity to meet as a group with each visiting speaker. The faculty expects all PhD students to attend and fully participate in such meetings. We also encourage students to attend research workshops in other departments consistent with their interests (e.g., finance, economics).

V. Microeconomics Preliminary Examination

AIM PhD students take the microeconomics preliminary exam covering the material in the first year microeconomics sequence. The exam is written and graded by the economics department but the hurdle for passing the examination is determined by the AIM PhD Committee.

VI. AIM Qualifying Examination

The AIM qualifying examination is comprehensive and covers both analytical and empirical topics in accounting research. The purpose of the exam is to test whether the student meets the required hurdle of competence in both analytical and empirical approaches to accounting research. The exam consists of three parts. The first part contains empirical questions which the students answer in an exam environment administered by AIM. The second part contains analytical questions which the students likewise answer in an exam environment administered by AIM. The first two sections of the exam, analytical and empirical, are given on consecutive days (generally Monday and Tuesday). The student may take up to eight hours to complete each section of the exam. The third part of the exam is a take-home "referee report." The student is offered the choice of an empirical and an analytical paper to review. The student evaluates the paper's strengths and weaknesses, its contribution to the literature, and ways in which the research may be improved or extended. The student picks up the paper at the end of the second day of the "in-class" portion of the exam (generally Tuesday) and has three days in which to write the referee report. The referee report is due by 5 pm on the third day (generally Friday).

The preliminary exam is given during the first half of July following the student's second year of studies. The students will be notified of the results of the exam in writing within two weeks of the completion of the exam.

The student may pass one, two, or all three portions (empirical, analytical, referee report) of the exam. The grading on the exam is high pass (HP), pass (P), low pass (LP), and fail (F). Each question on the exam is graded by at least two faculty members independently. The grades are cumulated across graders for each portion of the exam – analytical, empirical, and referee report. A series of low passes in any portion of the exam translates to a failing grade for that portion.

If the student fails one or more portions of the exam, the student may be offered the opportunity to retake those portions of the exam before the end of the summer quarter. The determination of whether a retake will be offered is made by the PhD Committee. The PhD Committee may instead terminate the

student's enrollment in the PhD program after failing the exam, or portions of the exam, if the faculty believe the student is unlikely to complete the exam successfully at the second attempt. A student so excluded may appeal the decision directly to The Graduate School.

Upon retaking part or all of the qualifying exam, the same evaluation procedure is followed. If the student fails one or more portions of the exam on the second attempt, the student will be excluded from the AIM PhD program. An excluded student may appeal the decision directly to The Graduate School.

VII. Second Year Summer Research Paper

During the summer following the second year and after completing the AIM qualifying exam, the student writes a research paper. The purpose of the summer paper is to provide the student with an early, independent experience doing original research from start (identifying the research question) to finish. The student should begin considering potential topics for the summer paper early in the second year. The student writes the summer paper under the direction of a faculty advisor of the student's choice. The selection of the faculty advisor and of the summer paper topic must be made by **July 31** following the student's second academic year in the program and must be communicated to the DGS by that time (see form attached as Exhibit A). The summer paper typically has been empirical in nature but may be either analytical or empirical.

If the summer paper is empirical, the requirements for the paper are that the student:

- Demonstrates ability to develop an original research question
- Articulates the testable hypotheses
- Designs an appropriate study to test the hypotheses
- Identifies the appropriate variables for the tests and gathers the data
- Interprets the results of the tests appropriately

If the summer paper is analytical, the requirements for the paper are that the student:

- Motivates the study by reference to a well-articulated accounting problem or set of related problems
- Develops a set of theorems that provides new insights into these problems
- Demonstrates the ability to prove original, and correct, theorems of interest to accounting academics

The student is required to present the summer paper to the AIM faculty in a 60 minute workshop no later than **December 15** of fall quarter of the third year; students are strongly advised to complete and present the paper prior to the beginning of fall quarter of the third year. The paper is to be original but the benchmark is that it demonstrates the student's ability to conduct academic research and not that it necessarily be of publishable quality. In other words, the paper must be more than a replication of an existing study but need not pass the test of potential publishability in a top tier journal. Tenured and tenure-track members of the AIM faculty attending the workshop assess the quality of the summer paper. The student's advisor and the DGS must both indicate their acceptance of the student's work on the form provided (see form attached as exhibit B).

Some students develop and expand their summer paper into a potentially publishable paper and some students expand their summer paper into their dissertation. The summer paper can thus serve as an important first step into academic research.

If the faculty determine that the summer paper is inadequate, the student's summer paper advisor and the DGS document the steps necessary to rectify the situation (e.g., revise the paper along specified dimensions by a given date). This document is discussed with the student. The student's summer paper advisor and the DGS monitor progress consistent with the document. The student may be required to present the paper at another workshop. No student will be permitted to sit for the preliminary exam prior to completion of an acceptable summer research paper, as signified by the signed document in Exhibit B.

VIII. Admission to Candidacy

Upon successful passing of the preliminary examination during the summer following the student's second year in the program, the PhD Committee evaluates the student for admission to candidacy. The evaluation for admission to candidacy includes the following items:

- 1) Course selection and grades
- 2) Performance on the qualifying examination
- 3) Quality of execution of the assigned teaching assistant and research assistantship responsibilities as reported by the appropriate faculty
- 4) Participation in department activities including Wednesday research workshops
- 5) Preliminary assessment of quality of the second year summer paper

Admission to candidacy is thus dependent on the PhD Committee's assessment, in consultation with other tenure track faculty, that the student is likely to succeed in completing the dissertation and additional research and thus will probably obtain an academic position at a top research institution. Students with satisfactory evaluations are admitted to candidacy and provided feedback on the process by the DGS. Students with unsatisfactory evaluations are excluded from the AIM PhD program. Excluded students may appeal the decision to The Graduate School.

IX. Year Three

During the third year of the program, the student should identify one or more faculty members with whom the student intends to work and one or more research topics the student plans to develop into a dissertation and/or working papers. Successful job market participants often have at least one working and/or published research paper in addition to their dissertation. Year three of the PhD program is a critical period for developing research ideas. **To further this goal, the student must identify at least one AIM faculty member with whom the student intends to work on research no later than the end of fall quarter of year three.** This faculty member may become a member or chair of the dissertation committee and/or a co-author with the student although these are not necessary conditions or requirements. The student should communicate the choice of faculty to the DGS by the end of the fall quarter.

During the spring quarter of the third year in the program, the PhD student gives a "brown bag" lunch presentation of one or more research ideas on which the student is working. The research idea/s should form the basis for the student's dissertation or a working paper. The working paper may be co-authored. The presentation should include, at a minimum the research question, preliminary research design and associated data requirements, and a literature review.

X. Prospectus (Dissertation Proposal) Exam

The Graduate School (TGS) requires that all PhD students pass a prospectus exam by the end of the summer quarter before the start of the student's fifth year in the program. Students must communicate the date and time of the exam to the Graduate School (through Susan Jackman) and to the AIM DGS at least **three weeks in advance**. The exam consists of the presentation of an original research project that the student intends to be the dissertation. The student makes this presentation in an open, formal workshop setting of 60 minutes in length.

In preparation for this exam, the student forms a dissertation committee consisting of a chair from the AIM department and a minimum of three other faculty members, with at least one other member from the AIM department and at least one member from outside the AIM department. Obtaining feedback from the committee prior to presenting the paper in a general workshop is critical to development of the research and to passing the exam. We encourage students to form the dissertation committee as early as possible to benefit from the committee's feedback prior to the prospectus exam. No more than one committee member may be absent from the prospectus exam.

Members of the faculty question the student during the prospectus examination as in a regular workshop setting. At the end of the presentation, the dissertation committee, after discussion with other members of the tenure-track AIM faculty in attendance, determines one of the following outcomes:

- 1) The student's research topic qualifies as a dissertation proposal; the student's presentation demonstrates appropriate research aptitude for successfully completing the PhD program; the student passes the prospectus exam. The dissertation committee drafts a document constituting the plan for completion of the dissertation. The dissertation chairman is responsible for monitoring compliance with the plan of completion.
- 2) The student's research topic qualifies as a dissertation proposal; the student's presentation demonstrates appropriate research aptitude for successfully completing the PhD program; the student passes the prospectus exam. However, the research has not progressed sufficiently for the committee to draft a plan for completion of the dissertation. The committee outlines the requirements, in writing, that the student must meet before scheduling the second presentation, which presentation will serve as the basis for drafting a plan for completion of the dissertation. The dissertation chairman is responsible for monitoring progress toward the goal and specifying a deadline for the second presentation.
- 3) The student demonstrates insufficient research aptitude to continue in the program, fails the prospectus examination, and is excluded from the PhD program, effective immediately. The student may appeal this decision to The Graduate School.

The outcome of the prospectus examination is communicated to the student by the dissertation committee chairman both verbally and in written form. A signed copy of the prospectus exam form is provided to the Graduate School by Susan Jackman.

A student may sit for the prospectus examination two or more times with the permission of the AIM DGS and department chair. However, the student must pass the exam by the end of the summer quarter before the start of the student's fifth year.

XI. Dissertation Defense

With the consent of the dissertation committee, the student may schedule his or her dissertation defense which is an open workshop. Notice of the defense must be provided to all AIM faculty at least two weeks prior to the scheduled date. AIM requires that no more than one member of the dissertation committee may be absent from the defense. At the completion of the defense, the committee votes on whether the student has successfully defended his/her dissertation. All members of the dissertation committee must sign the Graduate School forms indicating that the student has passed or not passed the dissertation defense. If a student fails the defense, the dissertation committee decides whether the student may retake the exam and the conditions for retaking the exam.

XII. Financial Aid

PhD students receiving financial aid from the Kellogg School of Management generally receive such aid for the maximum period of five years, subject to remaining in good standing with the Graduate School and to achieving satisfactory progress in the AIM department. The financial aid package consists of tuition, health insurance, and a monthly fellowship stipend.

In the first year, the fellowship stipend requires no teaching or research assistantship activities. In years two through four, the stipend requires that the student work ten hours per week during all four academic quarters as a teaching assistant or research assistant. There is no work requirement in the fifth year. The teaching and research assistantships are similar to apprenticeships, and thus important to the student's professional development. We expect the student to work to maximize the benefits from these opportunities.

The details of the financial aid package are provided in the acceptance letter sent by Kellogg to admitted PhD students.

Extended absences (absences greater than two weeks) from the AIM Department must be approved in advance by the DGS and the AIM Department Chair. PhD training consists of academic and professional development and such training cannot occur while the student is not in residence and fully engaged in academic activities.

In addition to the financial aid package, the AIM department will cover additional expenses for PhD students. These expenses might include the following (examples only, not an exhaustive list):

- Travel to attend a conference
- Travel to make a presentation at a conference, convention, etc.
- Special software
- Travel to attend the rookie recruiting conference in Miami

All requests for department funding of such activities **must be made and approved in advance** by either the department chair or the DGS.

Students entering the program in the of 2016 receive a budget for such expenses from Kellogg and should not need additional AIM funding.

XIII. Research Assistantship

Because the PhD program is, in part, an apprenticeship, and the student's involvement in all phases of research is a critical part of professional development, we expect each student to serve as a research assistant (RA) to members of the AIM faculty for each of the quarters in academic years 2 through 4 that the student is not a teaching assistant. The research assistantships provide training and guidance in conducting research and benefit both faculty and students in accomplishing research goals. The RA work will require approximately ten hours per week throughout each academic quarter that the student is not a TA. Students are encouraged to choose a faculty member or members with whom they wish to work based on shared research interests. The DGS can also help match students and faculty upon request.

In addition to the 10 hour per week requirement, there are often additional opportunities to work as a research assistant for additional pay. Students should indicate their interest in such work to the DGS. All additional employment arrangements must be approved in advance by the DGS or the department chair.

XIV. Teaching Assistantship

Because the PhD program is, in part, an apprenticeship, the student's involvement in teaching responsibilities is a critical part of professional development. PhD students serve as teaching assistants (TA) to members of the AIM faculty for two or three quarters per year in academic years 2 through 4. The DGS and department chair assign teaching assistant responsibilities to students. The TA work requires approximately ten hours per week throughout each academic quarter.

XV. Annual Activity Reports

Each AIM PhD student must complete the "AIM PhD Annual Activity Report" (see exhibit D) by **June 30** of each year and submit it to the AIM DGS. In this report, the student describes progress toward completion of the program's academic requirements and goals. The DGS, the Department Chair, the PhD Committee, and faculty for whom the student has worked as an RA and TA evaluate the student's progress, as well as promise using information from the Activity Report as well as other information. The DGS communicates the department's assessment in writing to the student no later than **July 31**. An annual evaluation of each student's progress is required by and forwarded to The Graduate School. Students are assessed as:

- a) making satisfactory progress
- b) not making satisfactory progress with the specification of a remediation plan
- c) not making satisfactory progress and excluded from the program

Additional assessments of the student's progress toward completion of the PhD are made after the student takes the qualifying exam and after the student completes the prospectus exam, both as described above.

The Graduate School requires that a student must maintain a 3.0 grade point average and have no more than three incompletes to stay in good academic standing. If the student is placed on probation, the student and the DGS develop a plan, with specific action steps and specific completion dates, for the student to return to good standing. This plan is put in writing and monitored by the DGS.

XVI. Master of Science (MS) Degree in Managerial Economics and Strategy (MS in MES)

AIM PhD students are eligible to pursue an MS in Managerial Economics and Strategy (MES) at the end of the first year in the program. Students must take three quarters of Microeconomics, three quarters of Econometrics, and three courses from an approved list. Students must earn a minimum 3.0 grade point average in these courses during the first year. The student must be in good standing in the Graduate School and receive an MS pass on the microeconomics written exam, administered by the economics department. Students may choose this option, subject to meeting the necessary requirements, whether or not they continue in the PhD program, although this option was developed for students leaving the Kellogg PhD program after one year of study. However, a student choosing to receive an MS in MES after the first year will not be eligible for a MS in Accounting after the second year (see below); the degrees are mutually exclusive.

XVII. Master of Science (MS) Degree in Accounting

Students who complete two years of coursework, take the preliminary examination, and are in good standing, are eligible for a master's degree (MS) in accounting upon petition to the AIM department, regardless of whether they continue in the program. The petition takes the form of a formal letter addressed to the Department Chair and to the DGS. At the time of grading the preliminary examination, the faculty will assess whether a student who fails the exam demonstrates sufficient knowledge on the exam to be eligible for the master's degree. As noted above in XV., the MS degree in accounting cannot be awarded to a student who has been granted an MS in MES.

XVIII. Summary Timeline of Due Dates and Milestones for the AIM PhD Program**First year***Fall Quarter*

Coursework (3-4 courses)

Winter Quarter

Coursework (3-4 courses)

Spring Quarter

Coursework (3-4 courses)

Summer Quarter

Research – Register for TGS 500 - Advanced Doctoral Work
 Microeconomics preliminary examination (late June/early July)
June 30 – Annual Activity Report due to AIM DGS
 RA work

Second year*Fall Quarter*

Coursework (3-4 courses)

RA or TA work

December 15 - Summer Research Paper Presentation deadline*Winter Quarter*

Coursework (3-4 courses)

RA or TA work

Spring Quarter

Coursework (3-4 courses)

RA or TA work

Summer Quarter

Research – Register for TGS 500 - Advanced Doctoral Work

- RA or TA work
- AIM Qualifying Examination (late June/early July)
- June 30** – Annual Activity Report due to AIM DGS
- July 31** – Summer Research Paper Title and Advisor due to DGS
- August 31** – Admission to candidacy deadline (last day of summer quarter)

Third year*Fall Quarter*

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

December 15 - Deadline to present second year summer research paper to faculty and students

Winter Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

Spring Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

Summer Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

December 1 – Identify faculty for continuing research association (deadline)

June 15 – **“Brown bag” lunch presentation of one or more research ideas deadline**

June 30 – Annual Activity Report due to AIM DGS

Fourth year*Fall Quarter*

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

Winter Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

Spring Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

Summer Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- RA or TA work

June 30 – Annual Activity Report due to DGS

August 31 – Prospectus Examination deadline

Fifth year*Fall Quarter*

- Research – Register for TGS 500 - Advanced Doctoral Work
- Prepare and submit materials for job market
- Present job market paper in Accounting workshop

Winter Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work
- Interviews at prospective academic institutions

Spring Quarter

- Research – Register for TGS 500 - Advanced Doctoral Work

Dissertation defense

Graduation and hooding

Exhibit A

**Kellogg School of Management
Northwestern University**

Accounting Information & Management

PhD Program – Summer Research Paper Advisor and Title

Please complete and submit this form to the PhD Coordinator no later than **July 31** of the summer following your **second year** in the program.

Date _____

Student name _____

Faculty advisor for summer paper _____

Title of summer paper _____

Brief description of summer paper:

Exhibit B

**Kellogg School of Management
Northwestern University**

Accounting Information & Management

PhD Program – Summer Research Paper Completion

Please complete and submit this form to the Director Graduate Studies no later than **December 15** of your **third year** in the program.

Date _____

Student name _____

Faculty advisor for summer paper _____

Title of summer paper _____

Date summer paper presented _____

By signing below, I signify that the above named student has fulfilled the requirements for the successful completion and presentation of the summer research paper.

Faculty Advisor _____

Director Graduate Studies _____

Exhibit C

**Kellogg School of Management
Northwestern University**

Accounting Information & Management

PhD Program – Prospectus Examination Committee

Please complete and submit this form to the PhD Coordinator no later than **June 30** of your **fourth year** in the PhD program. The prospectus examination committee must consist of at least four faculty members of which the chair and at least one other member must be AIM faculty. There must be one member from outside the AIM department.

Today's Date _____

Student's name _____

Prospectus Examination Committee:

Chairman _____

Member _____

Member _____

Member _____

Anticipated (approximate) date for prospectus examination: _____

Exhibit D

**Kellogg School of Management
Northwestern University**

Accounting Information & Management

PHD STUDENT ANNUAL ACTIVITY REPORT

June 2017

Please respond to the following questions concerning your academic progress and professional activities as a PhD student during the 2016/2017 academic year and your anticipated progress and activities during the 2017/2018 academic year.

<p>NAME: _____</p> <p>Year of Entry: _____</p>
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I. Describe your activities for the 2016/2017 academic year in the following areas:

A. Classes audited, if any.

Dept	Course #	Course name	Instructor name	Term (F, W, S, Su)

B. Describe **dissertation-related research (if applicable)**. Indicate the stage of the research (e.g., preparing for proposal exam, preparing “job-talk” paper, preparing for defense, etc.). Also describe the research question, the research design, any results, and the contribution of the work. Include the following information:

Dissertation title:

Chair of committee:

- Committee members:
- Projected/actual proposal date:
- Projected/actual defense date:
- C. Describe **all (non-dissertation) research** projects in process for which you are the author or co-author (do not include RA work). Provide a brief description of the research question, the research design, any results, and the anticipated contribution of the work. Indicate the names and affiliation of any co-authors. Also indicate the status of the project (e.g., completed summer paper, RA-work in progress, first round submission, etc.)
- D. Describe work you have done as **a research assistant**, if applicable. Describe your responsibilities and the nature of the work completed. Provide the name/s of the faculty for whom you worked.
- E. Briefly describe any teaching-related activities for the academic year 2016/2017. Include any teaching assistantships (with the name of the course and the professor) you had at Kellogg and the Allen Center as well as any courses you taught at either Northwestern or elsewhere. Please indicate the names of the classes, and the duties (e.g., instructor, grader, review sessions). If there were student evaluations (e.g., TCE), please summarize the evaluations.
- F. List all research presentations made at Kellogg and elsewhere.
- G. Describe any other scholarly activities (e.g., attendance at conventions, consortia, conferences, etc.).
- H. Describe any other compensated activities not covered above.

II. Describe your anticipated activities for the 2017/2018 academic year in the following areas:

A. Classes to be audited (department, course number, name of course, instructor name)

Dept	Course #	Course name	Instructor name	Term (F, W, S, Su)	Audit? (Y or N)

B. Describe anticipated **dissertation-related research (if applicable)**. Indicate the stage of the research (e.g., preparing for proposal exam, preparing “job-talk” paper, preparing for defense, etc.). Also describe the research question, the research design, any results, and the contribution of the work.

C. Describe **all (non-dissertation) research** projects on which you anticipate working as the sole author or as a co-author. Provide a brief description of the research question, the research design, any results, and the anticipated contribution of the work. Indicate the names and affiliation of any co-authors. Also indicate the planned status of the project (e.g., completed summer paper, submission to an academic journal, etc.)

D. Describe any research presentations you expect or are scheduled to make; any conferences, consortia, or conventions you anticipate attending; and any outside compensated activities you anticipate.

III. Please provide any additional information about your past activities or anticipated activities that will be helpful in assessing your academic progress and position in the AIM PhD program.